

## **VOLUME 2 AIR OPERATOR AND AIR AGENCY CERTIFICATION AND APPLICATION PROCESS**

### **CHAPTER 4 THE CERTIFICATION PROCESS—TITLE 14 CFR PART 135**

#### **Section 5 Phase 5—Certification**

**2-436 GENERAL.** Issue the certificate and approved operations specifications (OpSpecs) to the applicant after correcting all significant unsatisfactory items. This action completes the certification process. The FAA will not certify an applicant, under any circumstance, until the certification project manager (CPM) determines that the applicant is fully capable of fulfilling his/her responsibilities as charged by Title 49 of the United States Code (49 U.S.C.) (formerly the Federal Aviation Act of 1958 (FA Act)) and that the applicant will comply with Title 14 of the Code of Federal Regulations (14 CFR) in an appropriate manner.

**2-437 PREPARATION OF FEDERAL AVIATION ADMINISTRATION (FAA) CERTIFICATES.** See Volume 2, Chapter 1, Section 4, Preparation of Federal Aviation Administration Operating Certificates.

#### **2-438 ISSUANCE OF OPSPECS AND CERTIFICATE.**

**A. Regulatory Requirements Met.** After determining that the applicant has met all regulatory requirements, the applicant receives the appropriate certificate and OpSpecs. Prepare the OpSpecs in accordance with the procedures described in Volume 3, Chapter 18.

**B. Department of Transportation (DOT) Economic Authority.** An applicant for an Air Carrier Certificate will not, for any reason, receive OpSpecs or a certificate until the applicant presents a copy of his/her DOT economic authority (a certificate, commuter air carrier authorization, or FAA Form 4507, Air Taxi Operator and Commuter Air Carrier Registration and Amendments Under Part 298 of the Regulations of the Department of Transportation) to the CPM. The FAA does not require an applicant for an Operating Certificate, engaged in intrastate common carriage, to have DOT economic authority or submit any financial statement as a condition of certification.

**C. Signatures.** Before issuing the OpSpecs, the applicant and the appropriate principal inspectors (PI) will sign it. The new certificate holder will then receive the original certificate and OpSpecs.

#### **2-439 CERTIFICATION REPORT.**

**A. Composition.** When the new operator receives certification, the CPM is responsible for assembling a certification report. The CPM must sign the report, which includes the name and title of each team member who assisted in the certification project. During the business life of the operator, maintain the report in the permanent file relating to the new operator. The report will consist of the following eight documents:

- Preapplication Statement of Intent (PASI),

- Certification Job Aid and Schedule of Events (SOE),
- The Formal Application Letter,
- The Compliance Statement,
- Proving/Validation Test Evaluation Report,
- A copy of the OpSpecs issued,
- A copy of the issued certificate, and
- A summary of major difficulties experienced during the certification process and/or any recommendations noted by phase and specialty that may enhance the process.

**B. Summary Format.** Enter this summary into the Program Tracking and Reporting Subsystem (PTRS) in chronological order and maintain it in the archival records. To standardize the following format for summaries of major difficulties and/or recommendations, arrange as follows:

- 1) Phase 1—Preapplication (Operations, Maintenance, Avionics). Include summaries of difficulties or recommendations by specialty.
- 2) Phase 2—Formal Application (Operations, Maintenance, Avionics). Include summaries of difficulties or recommendations by specialty.
- 3) Phase 3—Document Compliance (Operations, Maintenance, Avionics). Include summaries of difficulties or recommendations by specialty.
- 4) Phase 4—Demonstration and Inspection (Operations, Maintenance, Avionics). Include summaries of difficulties or recommendations by specialty.

**2-440 CERTIFICATION REPORT RETENTION.** The district office will retain the original of the certification report in the operator file as long as the certificate holder remains active.

**Figure 2-6, FAA Form 8430-18, Air Carrier Certificate**

U.S. Department of Transportation	
Federal Aviation Administration	
 <b>Air Carrier Certificate</b>	
 <b>This certifies that</b>	
 has met the requirements of the Federal Aviation Act of 1958, as amended, and the rules, regulations, and standards prescribed thereunder for the issuance of this certificate and is hereby authorized to operate as an air carrier and conduct common carriage operations in accordance with said Act and the rules, regulations, and standards prescribed thereunder and the terms, conditions, and limitations contained in the approved operations specifications.	
 This certificate is not transferable and, unless sooner surrendered, suspended, or revoked, shall continue in effect indefinitely.	
  <div style="text-align: right;">By Direction of the Administrator</div>	
Certificate number _____	_____ (Signature)
Effective date _____	_____ (Title)
Issued at _____	_____ (Region/Office)

Figure 2-7, FAA Form 8430-21, Operating Certificate for Intrastate Common Carriage



U.S. Department  
of Transportation

Federal Aviation  
Administration

## OPERATING CERTIFICATE

**This certifies that**

(Enter Intrastate Common Carriage Company Name)  
(Enter Address of Principal Base of Operations)

has met the requirements of the Federal Aviation Act of 1958, as amended, and the rules, regulations, and standards prescribed therein for the issuance of this certificate and is hereby authorized to operate as an Air Operator and conduct

*Intrastate Common Carriage Operations*

in accordance with said Act and the rules, regulations, and standards; *and the terms, conditions, and limitations contained in the approved operations specifications*

This certificate is not transferable and, unless canceled, suspended, superseded, or revoked, shall continue in effect *indefinitely*.


By Direction of the Administrator

Certificate number:	_____	_____ (Signature)
Effective date:	_____	_____ (Title)
Issued at:	_____	

FAA Form 8430-21

**Figure 2-8, FAA Form 8430-21, Operating Certificate for Private Carriage**

The form is titled "OPERATING CERTIFICATE" and is issued by the U.S. Department of Transportation, Federal Aviation Administration. It certifies that a private carriage company has met the requirements of the Federal Aviation Act of 1958. The certificate is not transferable and remains in effect indefinitely unless canceled, suspended, superseded, or revoked. It includes fields for the certificate number, effective date, and issued at, as well as lines for the signature and title of the Administrator.

  
U.S. Department  
of Transportation  
  
Federal Aviation  
Administration

**OPERATING CERTIFICATE**

**This certifies that**

(Enter Private Carriage Company Name)  
(Enter Address of Principal Base of Operations)

has met the requirements of the Federal Aviation Act of 1958, as amended, and the rules, regulations, and standards prescribed therein for the issuance of this certificate and is hereby authorized to operate as an Air Operator and conduct

*Private Carriage Operations*

in accordance with said Act and the rules, regulations, and standards; *and the terms, conditions, and limitations contained in the approved operations specifications*

This certificate is not transferable and, unless canceled, suspended, superseded, or revoked, shall continue in effect *indefinitely*.

By Direction of the Administrator

Certificate number: \_\_\_\_\_  
Effective date: \_\_\_\_\_  
Issued at: \_\_\_\_\_

\_\_\_\_\_  
(Signature)  
\_\_\_\_\_  
(Title)

FAA Form 8430-21

**RESERVED.** Paragraphs 2-441 through 2-455.